

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

P3P2000078US/2369NP

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.

PCT/JP00/03899

INTERNATIONAL FILING DATE

15 June 2000 (15.06.00)

PRIORITY DATE CLAIMED

15 June 1999 (15.06.99)

TITLE OF INVENTION

TABLE OF WAFER POLISHING APPARATUS, METHOD FOR POLISHING SEMICONDUCTOR
WAFER, AND METHOD FOR MANUFACTURING SEMICONDUCTOR WAFER

APPLICANT(S) FOR DO/EO/US

Yuji OKUDA, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
4. ☒ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau)
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. (c)(3)).
9. ☒ An Oath or Declaration of the inventor(s) (35 U.S.C. (c)(4)). **Unexecuted**
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

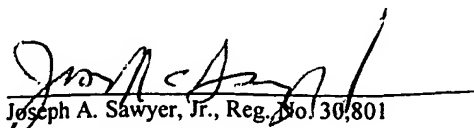
Items 11 to 16 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** Preliminary Amendment.
☐ A **SECOND** or **SUBSEQUENT** Preliminary Amendment.
14. ☐ A substitute specification.
15. ☐ A change of Power of Attorney and/or address letter.
16. ☐ Other items or information:

Exhibit A

EL744464029US

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO. PCT/JP00/03899		ATTORNEY DOCKET NUMBER P3P2000078US/2369NP	
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<p>17. <input checked="" type="checkbox"/> The following fees are submitted</p> <p>BASIC NATIONAL FEE (37 CFR 1.482)</p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO\$1,040.00 and International Search Report not prepared by the EPO or JPO</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO\$ 890.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO. . \$ 740.00</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33 (1)-(4). \$ 710.00</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33 (1)-(4). \$ 100.00</p> <p style="text-align: center;">ENTER APPROPRIATE BASIC FEE AMOUNT</p> <p>Surcharge of \$130.00 for furnishing the Oath or Declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 15%;">CLAIMS</th> <th style="width: 15%;">NUMBER FILED</th> <th style="width: 15%;">NUMBER EXTRA</th> <th style="width: 15%;">RATE</th> <th style="width: 15%;">\$</th> <th style="width: 20%;"></th> </tr> <tr> <td>Total Claims</td> <td>37 - 20</td> <td>17</td> <td>x 18.00</td> <td>\$ 306.00</td> <td></td> </tr> <tr> <td>Independent Claims</td> <td>6 - 3</td> <td>3</td> <td>x 84.00</td> <td>\$ 252.00</td> <td></td> </tr> <tr> <td colspan="4">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+ 280.00</td> <td>\$ 280.00</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL OF ABOVE CALCULATIONS =</td> <td>\$ 1,448.00</td> <td></td> </tr> <tr> <td colspan="4"><input type="checkbox"/> Applicant claims Small Entity Status. See 37 CFR 1.27. Fees reduced by 50%.</td> <td>\$</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL =</td> <td>\$ 1,448.00</td> <td></td> </tr> <tr> <td colspan="4">Surcharge of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).</td> <td>\$</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL NATIONAL FEE =</td> <td>\$ 1,448.00</td> <td></td> </tr> <tr> <td colspan="4">Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property. +</td> <td>\$</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL FEES ENCLOSED =</td> <td>\$ 1,448.00</td> <td></td> </tr> <tr> <td colspan="4"></td> <td style="text-align: right;">Amount to be refunded:</td> <td>\$</td> </tr> <tr> <td colspan="4"></td> <td style="text-align: right;">charged:</td> <td>\$</td> </tr> </table> <p>a. <input type="checkbox"/> Check No. <u>3902</u> in the amount of \$ <u>1,448.00</u> for payment of the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge Deposit Account No. _____ in the amount of \$XXX.00 for payment of the above fees. A duplicate of this sheet is attached.</p> <p>c. <input type="checkbox"/> The Commissioner is hereby authorized to charge any fees or credit any overpayment associated with this communication to Deposit Account 02-2120 (Sawyer Law Group LLP).</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <p>Joseph A. Sawyer, Jr. Sawyer Law Group LLP P.O. Box 51418 Palo Alto, California 94303 US</p> <div style="text-align: right;">  Joseph A. Sawyer, Jr., Reg. No. 30,801 <u>12/13/01</u> Date </div>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$		Total Claims	37 - 20	17	x 18.00	\$ 306.00		Independent Claims	6 - 3	3	x 84.00	\$ 252.00		MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ 280.00	\$ 280.00	TOTAL OF ABOVE CALCULATIONS =				\$ 1,448.00		<input type="checkbox"/> Applicant claims Small Entity Status. See 37 CFR 1.27. Fees reduced by 50%.				\$		SUBTOTAL =				\$ 1,448.00		Surcharge of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$		TOTAL NATIONAL FEE =				\$ 1,448.00		Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property. +				\$		TOTAL FEES ENCLOSED =				\$ 1,448.00						Amount to be refunded:	\$					charged:	\$
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UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box 200
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NUMBER NO. 10/018,708	FIRST NAMED APPLICANT Okuda Yuji	ATTY. DOCKET NO. P3p2000078US/2369NP
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INTERNATIONAL APPLICATION NO. PCT/JP00/03899

I.A. FILING DATE 06/15/2000	PRIORITY DATE 06/15/1999
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Joseph A Sawyer
Sawyer Law Group
P O Box 51418
Palo Alto, CA 94303

CONFIRMATION NO. 1643

371 FORMALITIES LETTER



OC000000007649223

Date Mailed: 03/18/2002 *due 5/18/02***NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Preliminary Amendments

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months months from the priority date (37 CFR 1.492(e)) is required.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions

Exhibit B

of 37 CFR 1.136(a).

Additionally the following defects have been observed:

- Additional claim fees of **\$640** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$770** for a Large Entity:

- **\$130** Late oath or declaration Surcharge.
- Total additional claim fee(s) for this application is **\$640**
 - **\$360** for 37 total claims over 20.
 - **\$280** for multiple dependant claims surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

BARBARA A CAMPBELL

Telephone: (703) 305-3631

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/018,708	PCT/JP00/03899	P3p2000078US/2369NP

FORM PCT/DO/EO/905 (371 Formalities Notice)

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Commissioner for Patents and Trademarks, Washington, D.C. 20231, on April 5, 2002.


Grace Alicea

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the name of:

Date: April 5, 2002

OKUDA, et al.

Serial No.: 10/018,708

Group Art Unit: *to be assigned*

I.A. Filing Date: June 15, 2000

Examiner: *to be assigned*

USPTO Filing Date: Dec. 13, 2001

Title: TABLE OF WAFER POLISHING APPARATUS, METHOD FOR POLISHING SEMICONDUCTOR WAFER, AND METHOD FOR MANUFACTURING SEMICONDUCTOR WAFER

Attention BOX MISSING PARTS
Assistant Commissioner of Patents
Washington, D.C. 20231

TRANSMITTAL LETTER

Sir:

In response to the Notification of Missing Requirements:

- 1) Notification of Missing Requirements Under 35USC 371 in the U.S. Designated/Elected Office DO/EO/US (copy);
- 2) Response to Notice of Missing Requirements;
- 3) Declaration/Power of Attorney (combined) executed by the inventors;;
- 4) Check No. 4289 in the sum of \$130.00;
- 5) Recordation Form Cover Sheet and executed Assignment document; ; and
- 6) Postcard.

If any unresolved issues remain, please contact Applicant's attorney at the telephone number below.

Respectfully submitted,

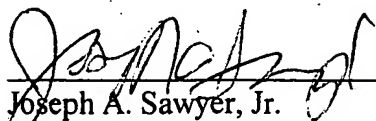
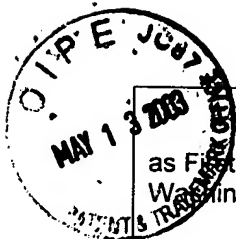
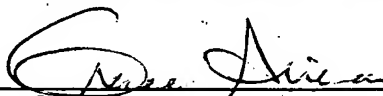

Joseph A. Sawyer, Jr.
Attorney for Applicants
Reg. No. 30,801
(650) 493-4540

Exhibit C



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Commissioner for Patents and Trademarks, Washington, D.C. 20231, on **April 5, 2002**.


Grace Alicea

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Date: April 5, 2002

OKUDA, et al.

Serial No.: 10/018,708

Group Art Unit: *to be assigned*

I.A. Filing Date: June 15, 2000

Examiner: to be assigned

USPTO Filing Date: Dec. 13, 2001

For: TABLE OF WAFER POLISHING APPARATUS, METHOD FOR POLISHING SEMICONDUCTOR WAFER, AND METHOD FOR MANUFACTURING SEMICONDUCTOR WAFER

RECEIVED

SEP 08 2003

Assistant Commissioner of Patents
Washington, D.C. 20231

TECHNOLOGY CENTER R3709

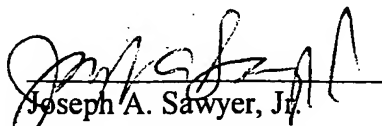
**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS
UNDER 35 USC 371 IN THE U.S. DESIGNATED/ELECTED OFFICE DO/EO/US)**

Sir:

In response to the Notification of Missing Requirements issued March 18, 2002, submitted herewith is a Declaration executed by the inventors.

The Commissioner is hereby authorized to charge any fees or credit any overpayment associated with this communication to Deposit Account 02-2120 (Sawyer Law Group LLP). If any unresolved issues remain, please contact Applicant's attorney at the telephone number indicated below.

Respectfully submitted,


Joseph A. Sawyer, Jr.
Attorney for Applicants
Reg. No. 30,801
(650) 493-4540